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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/085,376	02/28/2002	Michelle Shores	EMSI1	6598

7590

10/01/2004

Michelle Shores  
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EXAMINER

TRAN, QUOC A

ART UNIT

PAPER NUMBER

2176

DATE MAILED: 10/01/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**RECEIVED**

OCT 14 2004

Technology Center 2100

# Office Action Summary

Application No.

10/085,376

Applicant(s)

SHORES ET AL.

Examiner

Quoc A. Tran

Art Unit

2176

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
  - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 28 February 2002.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-16 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. This action is responsive to application filed 03/07/2002.
2. Claims 1-16 are pending. Claims 1, 14, 15 and 16 are independent claims.

### ***Claim Objections***

3. Claim 2, objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. Applicant is required to cancel the claim(s), or amend the claim(s) to place the claim(s) in proper dependent form, or rewrite the claim(s) in independent form, see Claim 2, page 16,  
" 2. The method of claim 2", Examiner reads as: " 2. The method of claim 1" instead of claim 2. Examiner assumes this is a typo. Appropriate correction is required.

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. **Claims 1-3 are rejected under 35 U.S.C. 103(a) as being unpatentable by Schroeder et al. US Pub No. 2002/0099735 A1 issued 07/25/2002 filed 01/19/2001**

**(hereinafter '735), in view of Solomon et al. US Pub No. 2004/0015435 A1 issued 01/22/2004 filed 12/20/2001 (hereinafter '435).**

**In regard to independent claim 1, “transmitting a plurality of files”, as taught by '735 at page 2, paragraph [0022] (i.e.... data files that a trading partner sends and receives...), “each having a plurality of fields for data entry”, as taught by '735 at page 6, paragraph [0073] (i.e.... forms-capable web browser or other user interface can be ... desired transaction by filling out the fields of a browser form 529...), “in a first file format from one of the trading partners to one of said computer systems,...,mapping at least a portion of said files received in said first file form, at into a second file format to be received by another of the trading partners wherein said first file format is unique from said second file format”, as taught by '735 at page 1, paragraphs [0006]-[0007] (i.e.... business-to-business commerce with all of its trading partners ... and systems in electronic commerce.... first file format ... into at least one second data file having an XML file format and transforming each of the at least one second data files into a normalized third data file having an XML file format, wherein the third data file is normalized according to a data format associated with the second trading partner...);**

**'735 does not explicitly teach, “defining a portion of said fields of each said file as key fields having data corresponding to stored verification data accessible by said computer system, identifying files as errored claims as a result of having incomplete or inaccurate data in any of said fields; and automatically editing only said key fields of said errored claims by exchanging said incomplete or inaccurate data for said stored verification data ”, however, as taught by '435 at page 4, paragraph [0043] through**

[0051] (i.e..... validated to ensure that codes and values in the data fields passed in the business transactions are valid... When the exception is detected, the module 38 can report the exception condition as an error message... The client 12 is also given the ability to access business transactions and exceptions conditions using criteria such as trading partner... Business transaction details can also be viewed including key fields or raw transaction data. In addition, the client 14 can either automatically edit ... transactions over the network 18... management system 20 queries the rules database 56 and retrieves the corresponding business rule to determine the next expected transaction...).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to have modified '435 into '735 to provide a way to define a portion of key fields, wherein the key fields have data that is matching with storage data; which could be accessible by said computer system, as well as error detection and automatic editing the errored key fields as a result of having incomplete or inaccurate data in any of the fields; and automatically editing only errored key fields that is incomplete or inaccurate during the exchange between trading partners. One of ordinary skill in the art would have been motivated to perform such a modification to enhance business transaction management with business based rules, also to facilitate business events among different business based rules, such as customer enrollment/switching, metered usage/billing/payment, load aggregation and settlements, customer account data maintenance, and other business events, as taught in '435 at page 1 paragraph [001] through [0003] (i.e..... business rules based transaction management system...).

**In regard to dependent claim 2**, *"wherein the trading partners receiving data in said second file format are free of performing application or system specific translations"*, as taught by '735 at page 1, paragraphs [0007]-[0008](i.e.... second data files into a normalized third data file having an XML file format, wherein the third data file is normalized according to a data format associated with the second trading partner... the data file can be translated to any number of different formats without referring back to the source data file. Thus, various embodiments of the present invention accept a data file from one company ("Sending Company"), regardless of the format used by the Sending Company...).

**In regard to dependent claim 3**, *"wherein said key fields are defined for receiving a member number, a provider number, a procedure designation, and a date of service"*, as taught by '735 at page 5, paragraph [0065] through page 6, paragraph [0067] (i.e.... inbound data files ... conduct a real-time load of data from the sending company's business system using software such as webMethods B2B Server. Once a data file is received by system portal 510, the data file undergoes an inbound files process 520... moved to an inbound files directory 518.... header information, sender identification, enveloping information, or other suitable information ... the enveloping structure of the data file, and any other suitable information), also as taught by '735 at page 2, paragraph [0027] (i.e. ... ID is generated by a SQL server (e.g., "15365"), for example, or any other suitable relational database, as a database index entry Examiner reads database index entry, which could be interpreted as the claimed *"key fields"*,

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moreover Examiner reads, envelop data file, which could be interpreted as the claimed *"member number, a provider number, a procedure designation, and a date of service."*

**In regard to independent claim 4,** *"The method of claim 3 wherein said key fields are precluded from being otherwise defined"*, as taught by '735 at page 2, paragraph [0027] (i.e. ... ID is generated by a SQL server (e.g., "15365"), for example, or any other suitable relational database, as a database index entry... record identifier is inserted into the copy of the corresponding document being processed (208). As described further below, another system data agent uses this record identifier later in the process. Upon the completion of this step, the original data file is stored (210) in a system inbound data repository 25. The original file name is combined with a time/date stamp to create a unique file name. The copy of the data file is then copied (212) to the INEDI.backslash.folder, where it is picked up by the next process (214) for additional processing...). Examiner reads database index entry, which could be interpreted as the claimed *"key fields"*, moreover Examiner reads, inserted into the copy of the corresponding document being processed, which could be interpreted as the claimed *"precluded from being otherwise defined."*

**In regard to dependent claim 5,** *"wherein said errored claims having said incomplete or inaccurate data in other than said key fields is left unedited"*, as taught by '735 at page 5, paragraph [0066] (i.e.... error detected ...system portal 510 takes the following steps similar to those described in process 204 of FIG. 2: the data agent moves the data file to a temporary holding area; the notification handler sends a message indicating that an error occurred during this process ...).

**In regard to dependent claim 6,** *“providing a list of errors in each file identified as being an errored claim”,* as taught by '735 at page 5, paragraph [0066] (i.e.... error is written to an error log file ...).

**In regard to dependent claim 7,** *“The method of claim 6 further comprising the step of manually editing said errored claim based upon said list of errors provided for identifying errors in each said file”,* as taught by '735 at page 5, paragraph [0066] (i.e.... the system data agent scans the file and compares the file to a predetermined file format, as similarly described in process 202 of FIG. 2, in order to perform error checking and compliance checking...).

**In regard to dependent claim 8,** *“The method of claim 6 further comprising the step of manually editing said errored claim based upon said list of errors provided for identifying errors in each said file”,* as taught by '735 at page 5, paragraph [0066] (i.e.... the system data agent scans the file and compares the file to a predetermined file format, as similarly described in process 202 of FIG. 2, in order to perform error checking and compliance checking...).

**In regard to dependent claim 9,** *“wherein said first file format is a standard file format and said second file format is a non-standard file format”,* as taught by '735 at page 2, paragraph [0023] (i.e.... data transfer includes a "Post" from an HTML Form, where an HTML form is used within a Web browser for data entry. The data that is entered into the form is transferred to the system portal via secure HTTP as XML data...).

**In regard to dependent claim 10**, *"wherein said first file format is a non-proprietary file format and said second file format is a proprietary file format"*, as taught by '735 at page 2, paragraph [0023] (i.e.... Another data transfer method is a "Direct File Transfer" 15. In this case, using a Web browser, such as Microsoft's Internet Explorer, a data file is selected from the trading partner's file system and transferred to the system portal via secure HTTP. A further method of transferring data to the system portal is a "Automated File Transfer." Through the use of communications software (e.g., Cyclone Software), data can be transferred on an unattended scheduled basis from the trading partner's computer system to the system portal as an encrypted data file via FTP, SMTP, and HTTP or secure HTTP...).

**In regard to dependent claim 11**, *"wherein said first file format is a proprietary file format and said second file format is a non-proprietary file format"*, as taught by '735 at page 2, paragraph [0023] (i.e.... data transfer includes a "Post" from an HTML Form, where an HTML form is used within a Web browser for data entry. The data that is entered into the form is transferred to the system portal via secure HTTP as XML data...).

**In regard to dependent claim 12**, *"accessing the Internet to transmit and receive data"*, as taught by '735 at page 2, paragraphs [0022] - [0023] (i.e....sends and receives... "Direct File Transfer" 15. In this case, using a Web browser, such as Microsoft's Internet Explorer, a data file is selected from the trading partner's file system and transferred to the system portal via secure HTTP...).

**In regard to dependent claim 13**, *"reformatting said data off-line"*, as taught by '735 at page 4, paragraph [0044] (i.e.... place the document in the recipient company's system mailbox for download by the Receiving Company... translates the source data file into an XML format... the raw XML data can be displayed by downloading the XML file and displaying the data in a Web browser or a third party application).

**In regard to independent claim 14**, is directed to a system for performing the method of claim 1, and is similarly rejected along the same rationale.

**In regard to independent claim 15**, incorporate substantially similar subject matter as cited in claims 1-3 above, and is similarly rejected along the same rationale.

**In regard to independent claim 16**, is directed to a computer readable storage medium for performing the method of claim 1, and is similarly rejected along the same rationale.

### ***Conclusion***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

O'Neil et al USPAT- 5,987,440 issued 11/16/1999 filed 07/22/1997

Meltzer et al USPAT- 6,125,391 issued 09/26/2000 filed 10/16/2000

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Quoc A. Tran whose telephone number is (703) 305-

8781, "After mid-Oct, 2004, the examiner can be reach at (571) 272- 4103". The examiner can normally be reached on Monday through Friday from 8:30AM to 5:30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Joseph H. Feild can be reached on (703) 305-9792. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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**Quoc A. Tran**  
**Patent Examiner**  
**Technology Center 2176**  
**September 21, 2004**

  
**JOSEPH FEILD**  
**SUPERVISORY PATENT EXAMINER**

<b>Notice of References Cited</b>	Application/Control No. 10/085,376	Applicant(s)/Patent Under Reexamination SHORES ET AL.	
	Examiner Quoc A. Tran	Art Unit 2176	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-2002/0099735 A1	07-2002	Schroeder et al.	707/513
	B	US-2004/0015435 A1	01-2004	Solomon et al.	705/39
	C	US-5,987,440 A	11-1999	O'Neil et al.	705/44
	D	US-6,125,391 A	09-2000	Meltzer et al.	709/223
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**FOREIGN PATENT DOCUMENTS**

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\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
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